

# EXHIBIT 1

FORM BD

Revised  
March 2, 1959

SECURITIES AND EXCHANGE COMMISSION  
WASHINGTON 25, D. C.

1-19  
88132.  
BMC

FORM OF APPLICATION FOR REGISTRATION AS A BROKER AND DEALER OR TO AMEND  
SUCH AN APPLICATION UNDER THE SECURITIES EXCHANGE ACT OF 1934

THIS IS AN APPLICATION FOR REGISTRATION.

ECK  
NE

Instructions—All Items in the Form must be answered in full. If this is an application by a predecessor  
on behalf of a successor broker-dealer not yet formed or organized, see instruction 7 below.

THIS IS AN AMENDMENT TO AN APPLICATION.

APPLICANT OR REGISTRANT REPRESENTS THAT TO THE EXTENT THAT INFORMATION PREVIOUSLY  
FILED IS NOT CORRECTED, SUCH INFORMATION IS TRUE, CORRECT, AND COMPLETE.

Instructions—If Items 3 (b) or 3 (c) are amended, they must be answered in full. With respect to any  
other items, furnish only the corrected information.

FULL NAME OF APPLICANT OR REGIS-  
TRANT . . . . . Bernard L. Madoff

NAME UNDER WHICH BUSINESS WILL BE  
CONDUCTED . . . . . Bernard L. Madoff

ADDRESS OF PRINCIPAL PLACE OF BUSI-  
NESS. (Complete address of actual location) . . . . . 75-35 210st. Bayside 64, N.Y.

IF NAME, OR NAME UNDER WHICH BUSI-  
NESS WILL BE CONDUCTED, IS HEREBY  
AMENDED, SHOW PREVIOUS NAME  
HERE . . . . .

GENERAL INSTRUCTIONS

1. This Form must be executed and filed in duplicate with the Securities and Exchange Commission, Washington 25, D. C. An exact copy should be retained by the applicant or registrant.
2. If the space provided for any answer is insufficient, the complete answer shall be prepared on a separate sheet which shall be attached to the Form and identified as "Answer to Item \_\_\_\_\_" and reference thereto shall be made under the item on the Form.
3. Individuals' names shall be given in full.
4. A Form which is not prepared and executed in compliance with applicable requirements may be returned as not acceptable for filing. However, acceptance of this Form shall not constitute any finding that it has been filed as required or that the information submitted is true, correct, or complete.
5. Rule 15b-8 requires a statement of financial condition to be filed in duplicate with every application for registration. Consult Rules 15b-7 and 17a-7 to determine whether any non-resident of the United States named in the Form is required to file a consent and power of attorney, or a notice or undertaking with respect to books and records.
6. Rule 15b-2 (b) requires that if the information contained in the application, or in any supplement or amendment thereto, is or becomes inaccurate for any reason, an amendment must be filed promptly on Form BD correcting such information.
7. If the Form is filed as an application by a predecessor broker-dealer on behalf of a successor not yet formed or organized, the information furnished shall relate to the successor to be formed. The Form shall be executed by the predecessor. Section 15 (b) of the Securities Exchange Act of 1934 and Rule 15b-8 provide that registration shall terminate on the forty-fifth day after the effective date unless prior thereto the successor shall adopt the application as its own. This procedure cannot be used where the successor is a sole proprietor.

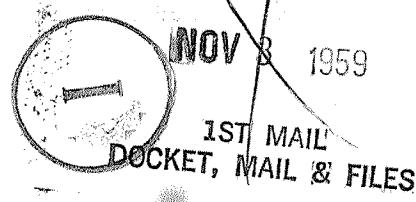
DEFINITIONS

Unless the context clearly indicates otherwise, all terms used in the Form have the same meaning as in the Securities Exchange Act of 1934 and in the General Rules and Regulations of the Commission thereunder.

RECEIVED  
U. S. SECURITIES & EXCHANGE COMMISSION

DEC 31 1959

1  
2nd MAIL  
DOCKET, MAIL & FILES



1-19

88132

mug

**FORM BD**Revised  
March 2, 1959**SECURITIES AND EXCHANGE COMMISSION**  
**WASHINGTON 25, D. C.****FORM OF APPLICATION FOR REGISTRATION AS A BROKER AND DEALER OR TO AMEND  
SUCH AN APPLICATION UNDER THE SECURITIES EXCHANGE ACT OF 1934****THIS IS AN APPLICATION FOR REGISTRATION.**

K Instructions—All Items in the Form must be answered in full. If this is an application by a predecessor on behalf of a successor broker-dealer not yet formed or organized, see instruction 7 below.

ORIGINAL 8-8132

Statement filed 12-31-59Changes in Name and/or Addressas reported on BD amendment received 11-6-62

1. BERNARD L. MADOFF

\*2. 39 Broadway  
New York 6, New York

636

RECORD OF ACTION

7. If the Form is filed as an application by a predecessor broker-dealer on behalf of a successor not yet formed or organized, the information furnished shall relate to the successor to be formed. The Form shall be executed by the predecessor. Section 15 (b) of the Securities Exchange Act of 1934 and Rule 15b-3 provide that registration shall terminate on the forty-fifth day after the effective date unless prior thereto the successor shall adopt the application as its own. This procedure cannot be used where the successor is a sole proprietor.

**DEFINITIONS**

Unless the context clearly indicates otherwise, all terms used in the Form have the same meaning as in the Securities Exchange Act of 1934 and in the General Rules and Regulations of the Commission thereunder.

**RECEIVED**  
U. S. SECURITIES & EXCHANGE COMMISSION

DEC 31 1959

1  
2nd MAIL  
DOCKET, MAIL & FILES

1-19

88132

Aug

**FORM BD**Revised  
March 2, 1959**SECURITIES AND EXCHANGE COMMISSION**  
**WASHINGTON 25, D. C.****FORM OF APPLICATION FOR REGISTRATION AS A BROKER AND DEALER OR TO AMEND  
SUCH AN APPLICATION UNDER THE SECURITIES EXCHANGE ACT OF 1934****THIS IS AN APPLICATION FOR REGISTRATION.**X Instructions—All Items in the Form must be answered in full. If this is an application by a predecessor  
on behalf of a successor broker-dealer not yet formed or organized, see instruction 7 below.

8-8132

ORIGINAL

Statement filed 12-31-59Changes in Name and/or Addressas reported on BD Amendment received 6-14-61

1. Bernard L. Madoff

\*2. 40 Exchange Place, New York, N. Y.

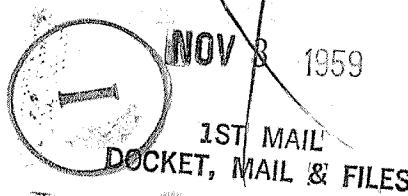
- 6
7. If the Form is filed as an application by a predecessor broker-dealer on behalf of a successor not yet formed or organized, the information furnished shall relate to the successor to be formed. The Form shall be executed by the predecessor. Section 15 (b) of the Securities Exchange Act of 1934 and Rule 15b-3 provide that registration shall terminate on the forty-fifth day after the effective date unless prior thereto the successor shall adopt the application as its own. This procedure cannot be used where the successor is a sole proprietor.

**DEFINITIONS**

Unless the context clearly indicates otherwise, all terms used in the Form have the same meaning as in the Securities Exchange Act of 1934 and in the General Rules and Regulations of the Commission thereunder.

**RECEIVED**  
U. S. SECURITIES & EXCHANGE COMMISSION

DEC 31 1959

1  
2nd MAIL  
DOCKET, MAIL & FILES

REPORT OF ACTION FILE X17A-5

RECORD OF ACTION

Pg 5 of 9

1. IS APPLICANT OR REGISTRANT TAKING OVER SUBSTANTIALLY ALL OF THE ASSETS AND LIABILITIES AND CONTINUING THE BUSINESS OF A REGISTERED BROKER OR DEALER?

YES      NO

IF SO, NAME OF PREDECESSOR:

ADDRESS OF PREDECESSOR.

DATE OF SUCCESSION:

2. TO BE FILLED OUT ONLY IF APPLICANT OR REGISTRANT IS A SOLE PROPRIETOR

FULL NAME Bernard L. Madoff

RESIDENCE ADDRESS - 75-35 210st. Bayside 64, N.Y.

3. TO BE FILLED OUT ONLY IF APPLICANT OR REGISTRANT IS A CORPORATION

(a) STATE OR PLACE IN WHICH INCORPORATED

**DATE OF INCORPORATION**

(b) COMPLETE LIST OF OFFICERS AND DIRECTORS, AND PERSONS WITH SIMILAR STATUS OR FUNCTIONS:  
Full Names                      Designate Titles

Full Names

Designate Titles  
of Each Officer

Designate Directors  
by Stating "Director"

(c) IS ANY PERSON, DIRECTLY OR INDIRECTLY, THE BENEFICIAL OWNER OF 10 PERCENT OR MORE OF ANY CLASS OF ANY EQUITY SECURITY OF APPLICANT OR REGISTRANT? YES  NO   
IF SO, As to each such person state:

IF SO, As to each such person state:

Full Name

Class of Security

4. TO BE FILLED OUT ONLY IF APPLICANT OR REGISTRANT IS A PARTNERSHIP

(a) LIST FULL NAMES OF GENERAL PARTNERS

RESIDENCE ADDRESS OF EACH GENERAL PARTNER  
WHO DOES NOT RESIDE IN THE UNITED STATES

(b) LIST FULL NAMES OF  
LIMITED OR SPECIAL PARTNERS

LIMITED OR SPECIAL PARTNERS (Continued)

YES  NO

5. TO BE FILLED OUT ONLY IF APPLICANT OR REGISTRANT IS OTHER THAN A SOLE PROPRIETOR, PARTNERSHIP OR CORPORATION.

TYPE OF ORGANIZATION OR ASSOCIATION: \_\_\_\_\_

FULL NAME OF EACH PERSON, INCLUDING A TRUSTEE, WHO DIRECTS, MANAGES OR PARTICIPATES IN DIRECTING OR MANAGING ITS AFFAIRS, AND THE RESIDENCE ADDRESS OF ANY SUCH PERSON WHO DOES NOT RESIDE IN THE UNITED STATES.

Full Name

Residence Address if Non-Resident

OR

6. DOES ANY PERSON NOT NAMED IN ITEMS 2 TO 5, INCLUSIVE, DIRECTLY OR INDIRECTLY, CONTROL BUSINESS OF APPLICANT OR REGISTRANT?

YES  NO

IF SO, Furnish Full Name

Business Address

Residence Address of Any Such Person Who Does Not Reside in the United States

7. LIST EACH PERSON NAMED IN ANSWERS TO ITEMS 2 TO 6, INCLUSIVE, AND WITH RESPECT TO EACH FURNISH THE FOLLOWING INFORMATION CONCERNING ANY CONNECTION WITH OR FINANCIAL INTEREST IN ANY BROKER OR DEALER (OTHER THAN REGISTRANT OR APPLICANT OR ANY PREDECESSOR) WITHIN THE PAST 10 YEARS. IF ANY SUCH PERSON HAS HAD NO SUCH CONNECTION, THE WORD "NONE" SHALL BE STATED WITH RESPECT TO SUCH PERSON:

Full Name	Name of Broker-Dealer	From Month	Year	To Month	Year	Exact Nature of Connection or Interest
Bernard L. Madoff	Wayne, Bickart, Madoff & Co. Inc.	Feb.	1959	Apr.	1959	Part Time Salesman

NO



INCLU-  
ECTLY

NO  X  
Court 1  
NO  X  
nd  
NO  X  
MAY HE  
S F

STATEMENT OF FINANCIAL CONDITION  
PURSUANT TO RULE 15b-8  
UNDER THE SECURITIES EXCHANGE ACT OF 1934

OF

BERNARD L. MADOFF  
( Name Of Registrant )

The attached statement reflects the financial condition of  
the above named registrant as of see 29<sup>th</sup>, 1959 ( which is  
within 30 days of date of filing )  
and is true and correct to the best of my knowledge and belief.

Bernard L. Madoff  
( Name and title of person making  
the oath or affirmation )

affirmed  
Subscribed and sworn to before me this 29<sup>th</sup> day of November 1959

Elisabeth R. Nash Notary Public

My commission expires March 30, 1960

ELISABETH R. NASH  
NOTARY PUBLIC, State of New York  
No. 41-8099835, Queens County  
Term Expires March 30, 1960

RECEIVED  
U. S. SECURITIES & EXCHANGE COMMISSION

DEC 31 1959

2nd MAIL  
DOCKET, MAIL & FILED

REPORTING SHEET 57-A-5

RECORD OF ACTION

FINANCIAL STATEMENT

Dec. 29, 1959

Assets

Cash on hand \$200.00

Liabilities

None

RECEIVED  
U. S. SECURITIES & EXCHANGE COMMISSION  
DEC 31 1959

2nd MAIL  
DOCKET, MAIL & FILED